

FY 2019 EMPG GUIDANCE
Emergency Management Performance Grant
Guidance and Application Workbook



Funding provided by
The Department of Public Safety's (DPS)
Division of Emergency Management (DEM)

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The United States Department of Homeland Security's (DHS)
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DEM CONTACTS

EMPG Coordinator

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LIAISONS

If you need assistance, please contact the LNO that coincides with the region that your emergency management program falls under.

Region 1

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Box Elder, Cache, Rich, Davis, Morgan, Weber Counties
and Shoshone Tribe

Region 2

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Salt Lake, Summit, Tooele, Utah, Wasatch Counties,
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Region 4

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Beaver, Iron, Garfield, Kane, Washington Counties, and
Paiute Tribe

Region 5

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Carbon, Emery, Grand, San Juan Counties, Navajo Tribe,
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WebEOC Support

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BACKGROUND

The mission of the Utah Division of Emergency Management is to unite the emergency management community and coordinate the efforts necessary to mitigate, prepare for, respond to, and recover from emergencies and catastrophic events. Emergency managers provide critical leadership in their jurisdiction's ability to achieve this mission within their own communities.

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide qualifying jurisdictions (Counties, Cities, Tribes, and Public Institutions of Higher Education) with supplemental financial assistance and technical expertise in establishing, maintaining, and enhancing an effective emergency management program. This is accomplished by identifying eligible missions and core capabilities outlined in the National Preparedness Goal ([NPG](#)). A central objective of this program is to ensure that there are trained, experienced, and professional emergency management personnel in each eligible jurisdiction.

The Utah Department of Public Safety's Division of Emergency Management (DEM), funds the local EMPG Program through funding received from the U.S. Department of Homeland Security; Federal Emergency Management Agency (FEMA).

GRANT INFORMATION

The full **Notice of Funding Opportunity** (NOFO) from **FEMA** for **EMPG** can be found [here](#).

The **Code of Federal Regulations** which applies to all federal awards can be found [here](#).

The **objective** of the EMPG Program is to support a comprehensive, all-hazard emergency preparedness system by building and sustaining the [core capabilities](#) contained within each [mission area](#) of the NPG.

Examples of EMPG funded activities include but are not limited to:

- Initiating or achieving a [whole community approach](#) to security and emergency management;
- Strengthening a state or community's emergency management program;
- Updating emergency plans;
- Completing a Threat and Hazard Identification and Risk Assessment ([THIRA](#)) process;
- Designing and conducting exercises that engage a whole community of stakeholders and validate core capabilities;
- Conduct and attend training.

The Department of Homeland Security expects EMPG recipients and subrecipients (county/city/tribe/IHE) to *prioritize* grant funding to address capability targets and gaps identified through the annual THIRA and SPR process. Recipients and subrecipients should *prioritize* the use of grant funds to maintain/sustain current capabilities, to validate capability levels, and to increase capacity for high-priority core capabilities with low capability levels. ([Resource](#) for developing core capabilities)

A **cost match** is required under this program. The Federal share that is used towards the EMPG Program budget **shall not exceed 50%** of the total budget. FEMA administers cost matching requirements in accordance with [2 CFR 200.306](#). To meet matching requirements, the contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all federal requirements and regulations.

Note: subrecipients will be reimbursed at a maximum of 25% of the total award amount per quarter. Expenditures must be paid *during* the quarter they are claimed for reimbursement.

ELIGIBILITY and PROGRAM REQUIREMENTS

- Employ a full-time, three-quarter time, part-time, or one-quarter time Emergency Program Manager (40, 30, 20, or 10 hours per week respectively).
 - This position cannot be contracted or held by an elected official.
 - If an emergency manager or emergency management supporting staff member holds multiple positions, they should note their hours spent on Emergency Management to differentiate from other responsibilities.
- Submit a timely and complete application.
- Meet all Federal requirements such as (but not limited to):
 - Equal Opportunity Employer
 - Drug-Free Workplace
 - Single Audits
 - Federal Funding Accountability and Transparency Reporting
 - Compliance with 2 CFR 200 policies
 - [etc.](#)
- Cities shall submit a letter/E-mail from their respective County EMs acknowledging their participation in the EMPG program with their applications.
- New applicants shall complete IS 100, 200, 700, and 800 prior to applying for the grant.
 - Exceptions will be considered on a case by case basis.
- All applicants shall submit a Multi-Year Training and Exercise Plan spanning the current year prior to submitting their applications.
- Complete and report on all performance standards listed within this guidance.
 - Performance Standard One: Exercise
 - Performance Standard Two: NIMS Compliance
 - Performance Standard Three: Planning
 - Performance Standard Four: Professional Development Coordination
 - Performance Standard Five: Community Outreach
- Full participation and compliance with DEM's Grant Monitoring Program.
- Complete the [Pre-Award Risk Assessment](#)
- **NEW** Provide Emergency Interim Successors [LINK](#)

REPORTING

On a quarterly basis the Emergency Program Managers shall submit the following to Utah DEM via WebEOC:

1. A progress report reflecting work accomplished according to their work plan. The report should address activities for all Five Performance Standards. The report should also have a detailed narrative as to what has been completed.
2. Exercise documents, if applicable for the reporting period (see the table on page 8 for required documents). All exercise requirements shall be fulfilled by EMPG funded personnel.
3. A financial request for reimbursement form.
4. Thorough documentation in support of the reimbursement request. All expenses listed in this report must be paid and supporting documentation shall be attached and submitted via WebEOC. (more information found on page 6)

Penalties for missing/late reporting

1. If the performance standards are incomplete at the end of the 4th quarter, the jurisdiction's following year reimbursement shall be reduced by 10% of its following year's allocation per incomplete standard.
2. A late report, not waived for good cause by the Director of DEM or his designee, will not receive reimbursement for that quarter.
3. If two reports, two reimbursement requests, or one or more performance standards are missed or late throughout the grant year, the jurisdiction may receive a probationary letter when applying for EMPG the following year along with a 10% decrease in new year funding. If improvement is not made, the jurisdiction will be disqualified from applying in the subsequent year.

SUPPORTING DOCUMENTATION

For expenses claimed under EMPG, we require supporting documentation to meet the Federal Requirement put in place by [2 CFR 200.331 \(d\)](#) which requires pass-through entities to “monitor the activities of subrecipients as necessary to ensure that the subaward is used for authorized purposes.”

These supporting documents must be procedurally generated and cannot be self-certified documents. For example, in the case of **Salary and Benefits**, we would require documentation generated by the jurisdiction’s payroll software.

What this is

- Compensation and Benefits Summary
- Payroll Summary
- Pay Stubs

What this isn’t

- A written document (E-mail)
- An excel spreadsheet showing the amounts
- A copy of the trial balance

For other **purchases**, we will need proof of purchase as well as proof of payment. Again these must be procedurally generated documents and not self-certified documents.

What this is

- An invoice and a copy of the check used to pay the invoice
- An invoice and credit card statement showing the purchase
- An itemized receipt showing payment and listing what was purchased

What this isn’t

- A copy of the general ledger or trial balance
- A spreadsheet stating expenses to be claimed for EMPG
- A purchasing card transaction log

As for **Travel Expenses**, these documents will depend on your policy. We will need proof that the travel was authorized and proof that the expenses were incurred and/or reimbursed.

These documents are to be submitted in webEOC with your quarterly reports. If you are ever uncertain about whether or not you have the documentation required to claim an expense under EMPG, call or E-mail the EMPG coordinator.

*Remember to retain all documents for three at least years after closeout.

PERFORMANCE STANDARD ONE: EXERCISE

All participants must complete, and report on a minimum of three exercises within the grant cycle. Participants must also complete a Training and Exercise Planning Workshop (TEPW). Exercises to be claimed towards EMPG requirements must be submitted in the [WebEOC Exercise Schedule and History Log](#) 30 days prior to the exercise. This is also where you will submit any required documentation for the exercises.

For exercises where your jurisdiction/agency is not hosting the exercise we require either:

- that the requesting jurisdiction/agency is explicitly identified in both the After Action Report and Improvement Plan, with objective and actions pertaining specifically to the participant;
- or that the requesting jurisdiction/agency submit its own After Action Report and Improvement Plan outlining its objectives for participating in the exercise as well as an Improvement Plan pertaining the participants Emergency Plans.

Planned Events and Real World Events can also be used towards your EMPG Exercise Requirements. Planned events (parades, races, festivals, fairs, etc.) may be used towards EMPG requirements once per grant cycle after approval has been given. Real world incidents *may* count as an exercise *if* the jurisdiction fills the approval survey within 10 business days after the last response/operational period ends. To apply for approval, fill out the survey found [HERE](#). For these types of events to count towards EMPG, we stress the importance of using the event to test your existing plans. If an event doesn't test any of your emergency plans, and thus can't be used to create an improvement plan, it will not be considered toward the exercise requirement.

The table on the next page provides a table of required documents depending on the type of exercise you conduct. The blue hyperlinked exercise titles will take you to definitions of the different exercise types and the blue hyper-linked document types will provide templates and guidance.

For additional guidance on Exercises, TEPWs, TEPs, Planned and Real World Events, please contact Kris Repp (krepp@utah.gov) and Tracy Bodily (Tbodily@utah.gov).

EXERCISE REPORTING:

| EMPG Exercise Reporting Requirements | Exercise Plan* which should include an Exercise Overview page | After Action Report / Improvement Plan* which should include an Exercise Overview page | Participant Roster* |
|--|---|--|---|
| Seminar <i>(This Exercise Type is an informational briefing)</i> | Not Required | Either AAR/IP or Executive Summary* | At a minimum, names of participants and agencies in AAR |
| Workshop <i>(A Product is Developed During this Exercise Type)</i> | Not Required | Either AAR/IP or Executive Summary* | At a minimum, names of participants and agencies in AAR |
| Tabletop | Not Required | Required | Required: See template |
| Drill <i>(usually single agency, single function)</i> | Not Required | Required | Required: See template |
| Functional | Required | Required | Required: See template |
| Full-Scale | Required | Required | Required: See template |
| Planned Event** | Not Required | Required | Required: See template |
| Real World Event** | Not Required | Required | At a minimum, names of participants and agencies in AAR |

*Templates of these documents are found in the links at the top of the table and on our website

dem.utah.gov/exercises/ An **Exercise Overview** is always required.

**Planned Events and Real World Events require an Incident Action Plan (minimum of 3 forms within the IAP)

For any additional questions or for support in planning, documenting, or evaluating your exercises, contact Kris Repp at krepp@utah.gov, Don Cobb dcobb@utah.gov, or Tracy Bodily tbodily@utah.gov.

PERFORMANCE STANDARD TWO: NIMS COMPLIANCE

IS Training and the [Professional Development Series \(PDS\)](#) or [EM Basic Academy](#)

- Per FEMA requirements EMPG funded personnel must complete NIMS Independent Study (IS) 100, 200, 700, and 800.
- In addition, personnel shall complete either the courses identified in the Professional Development Series or the National Emergency Management Basic Academy delivered by either the Emergency Management Institute (EMI) or at a sponsored State, Local, Tribal, Territorial, Regional, or other designated location.
 - This is no longer required to be submitted with your application. However, it has made its way into our monitoring checklist. So when DEM performs monitoring for your jurisdiction, please ensure that you have quick access to this/these document(s).

NIMS Implementation

- Update list of resources in Resource Inventory Tracker in WebEOC annually.
([Statute 53 2a 306](#))
 - Per FEMA requirements recipients and subrecipients receiving EMPG funding are required to implement NIMS, and EMPG funds may be used to meet the requirements. FY 2019 EMPG recipients and subrecipients shall use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.
 - With this list, we are primarily interested in capital assets and teams. However, use your best judgement as to what resources your neighboring jurisdictions would benefit from being able to see/request in/from this list. If you have any questions, contact Rey Thompson (801.330.4343).
- Additional NIMS resources
 - [What is NIMS?](#)
 - [Compliance Basics](#)
 - [NIMS Training Needs](#)
 - [Additional NIMS info](#)

This will be reported through the NIMS implementation survey tab of your EMPG quarterly progress report.

PERFORMANCE STANDARD THREE: PLANNING

Emergency Operations Plan

- Submit a copy of the most recent promulgation letter of a developed or updated Emergency Operations Plan (EOP) with your application.
- Per FEMA requirements recipients and subrecipients shall *update* their EOP at least once every two years and their EOP should be aligned with the guidelines provided by [CPG 101 v.2](#).
- While *updates* are only required biannually, progress towards updating your EOP and its annexes should be an annual endeavour.
- Submit an **annual** progress report of the EOP update using the CPG 101 v.2 [Process and Analysis Tool](#).
 - This form has been included in the “progress report” excel template.
 - Read through the form and provide all of the requested information.
 - A common mistake on this performance standard is not providing dates for milestones/goals (Qtr/Yr Minimum) and not providing the plan being worked on. Even if the dates are rough estimates, please provide them or the standard will be incomplete.

*What this means is that the year you “update” your EOP is the year you “finalize” it. And the years in between are spent holding meetings and planning for the future update.

PERFORMANCE STANDARD FOUR: PROFESSIONAL DEVELOPMENT COORDINATION

To meet this performance standard a jurisdiction's Emergency Manager or a member of their EM Support staff shall attend **the Utah State Emergency Managers Conference and one additional conference** each year. The conferences that fulfill the additional conference requirement include:

- Public Safety Summit
- Utah Emergency Management Association (UEMA) or International Association of Emergency Managers (IAEM) Conference
- Utah Floodplain and Stormwater Management Association Conference
- Public Information Officers' Conference
- Other conferences require prior approval, please contact tpatterson@utah.gov
 - As a guideline, to be approved, 'other' conferences should identify missions and core capabilities from the National Preparedness Goal.

The emergency manager or designee shall also participate in your region's LEPC *at least* once per quarter and your Region/County Stakeholder meeting at least once per year (contact your Regional Chair, County EM, or Liaison for information).

Also participants shall meet with their Regional Liaison Officer quarterly. In these meetings please alert your Liaison as to how you have met, or how you intend to meet, each of these performance standards.

All participants shall also complete two Emergency Management related classes per year. These should be classes sponsored by DEM or FEMA. Alternative classes must receive prior approval to use toward this performance standard. While working on the required IS, PDS or EM Basic Academy requirements, the associated classes will count toward this requirement. Instructing classes for DEM also will meet this requirement. If you are unsure which classes to take to meet this requirement after you have met the NIMS compliance requirements, we would recommend progressing towards FEMA's [Advanced Professional Series](#) (APS).

Report this on your quarterly progress report.

PERFORMANCE STANDARD FIVE: COMMUNITY OUTREACH

Subrecipients shall complete at least one of the activities listed below, pertaining to community outreach.

- Host or participate in a Community Preparedness Fair or Event
- Develop a local-specific emergency preparedness handbook
- Develop and sustain local Citizen Corps activities
- Participate in or develop a Private Sector Preparedness Council
- Create an advertising campaign for educational outreach
- Other (with approval by DEM prior to the event)

Report this on your quarterly progress report.

EHP

As a federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties (EHP) to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with federal **EHP regulations**, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [Environmental Planning and Historic Preservation Policy Guidance](#), and FP 108.24.4, [Environmental Planning and Historical Preservation Policy](#).

SUPPLANTING FUNDS

According to Article XXIII - Non-supplanting Requirement; all recipients who receive awards made under programs that prohibit supplanting by law must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources.

DEFINITION 1:

“Supplant means to replace or take the place of. Federal law prohibits recipients of federal funds from replacing state, local, or agency funds with federal funds. Existing funds for a project and its activities may not be displaced by federal funds and reallocated for other organizational expenses. These funds are meant for the purpose of ‘supplementing’ or building on state, local, and agency funds. “

DEFINITION 2:

“A state or unit of local government reduces state or local funds for an activity specifically because federal funds are available (or expected to be available) to fund that same activity. When supplanting is not permitted, federal funds must be used to supplement existing state or local funds for program activities and may not replace state or local funds that have been appropriated or allocated for the same purpose. Additionally, federal funding may not replace state or local funding that is required by law.”

The NOFO gives the following example: the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

Supplanting funds can cause confusion, so if there is ever uncertainty of whether or not a purchase falls into the category of ‘supplanting’ rather than ‘supplementing’ call the EMPG Program Coordinator.

ADDITIONAL REFERENCE LIBRARY

- [Allowable costs as summarized in the EMPG NOFO](#)
- [Authorized Equipment List](#)
- [Cost Sharing or Cost Matching Funds](#)
- [Environmental Planning and Historic Preservation Review \(Slides\)](#)
- [What is Supplanting?](#)
- [Core Capability Building Worksheets](#)
- [CPG 101 version 2](#)
- [What is NIMS](#)
- [NIMS Compliance Basics](#)

EMPG CHECKLISTS

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|---|---|
| ✓ | Application Requirements (TBD) |
| | Fill and Submit FFATA (Federal Funding Accountability and Transparency Act) |
| | Fill and Submit Match Certification |
| | Submit Multi-Year Training and Exercise Plan (TEP) |
| | Submit most recently signed EOP (w/promulgation letter) |
| | Signed Letter/E-mail showing County Acknowledgement of EMPG application (Cities only) |
| | Complete Pre-Award Risk Assessment (work with your finance section) |
| | Wait for Emergency Management Performance Grant Program Acceptance |
| | Provide Emergency Interim Successors LINK |

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| ✓ | Award Obligation Requirements (These documents will be sent to subrecipients upon State's EMPG Award from FEMA) |
| | E-mail signed 76-10 (Obligating Document) to tpatterson@utah.gov |
| | E-mail signed Articles of Agreement to tpatterson@utah.gov |

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| ✓ | Performance Standard One Exercise (Due by end of grant cycle) |
| | Complete and report on first exercise through the WebEOC Exercise Schedule |
| | Complete and report on second exercise through the WebEOC Exercise Schedule |
| | Complete and report on third exercise through the WebEOC Exercise Schedule |
| | Participate in a Training and Exercise Plan Workshop to develop a Multi-Year TEP |

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| ✓ | Performance Standard Two NIMS Compliance (Due by end of grant cycle) |
| | Complete, or make progress toward completing, IS 100, 200, 700, 800 |
| | Complete, or make progress toward completing, either PDS or EM Basic Academy |
| | Update your resource inventory board on WebEOC |

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| ✓ | Performance Standard Three Planning (Due by end of grant cycle) |
| | Update EOP (required once every two years) |
| | Submit CPG 101 v.2 Process and Analysis Tool (required annually) (Alternatively, upload a copy of your change log in the miscellaneous field.) |

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| ✓ | Performance Standard Four Professional Development and Coordination (Due by end of grant cycle) |
| | Attend two conferences (USEMC required) |
| | Complete (or instruct) two training courses sponsored by DEM or FEMA |
| | Participate in an LEPC at least quarterly |
| | Attend at least one stakeholder meeting |

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| ✓ | Performance Standard Five Professional Development and Coordination (Due by end of grant cycle) |
| | Complete a community outreach campaign (list of option provided in guidance) |

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| ✓ | Quarter 1 Requirements (Due April 20th) |
| | Update Progress Report |
| | Track, generate, sign, and submit Expenditures Report and Reimbursement Request |
| | Meet with Region Liaison |
| | Participate in LEPC |

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| ✓ | Quarter 2 Requirements (Due July 20th) |
| | Update Progress Report |
| | Track, generate, sign, and submit Expenditures Report and Reimbursement Request |
| | Meet with Region Liaison |
| | Participate in LEPC |

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| ✓ | Quarter 3 Requirements (Due October 20th) |
| | Update Progress Report |
| | Track, generate, sign, and submit Expenditures Report and Reimbursement Request |
| | Meet with Region Liaison |
| | Participate in LEPC |

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| ✓ | Quarter 4 Requirements (Due January 20th) |
| | Update Progress Report |
| | Track, generate, sign, and submit Expenditures Report and Reimbursement Request |
| | Meet with Region Liaison |
| | Participate in LEPC |
| | Ensure all performance standards are met by this deadline to avoid penalties |